

FSA License no. SD106

Regulated by the Financial Service Authority

COMPLAINTS HANDLING POLICY

Version 2.0

1. Introduction

Topline Ltd (hereinafter, “the Company” or “We”) is an Investment Firm regulated by the Financial Service Authority (hereinafter, “FSA”) with License number SD106.

2. Definitions

‘**Client**’ means every person (natural to whom the Company provides investment or/and ancillary services.

‘**Complaint**’ is a statement of dissatisfaction by a client (natural or legal person) regarding the provision of services by the Company.

‘**Complainant**’ means a client (natural or legal person) who is presumed to be eligible to have a complaint considered by the Company and who has already filled a complaint.

3. Complaints Policy

Topline Ltd is committed to an internal complaint resolution system and procedures based on the following principles:

1. to maintain and remain committed to an efficient internal complaint resolution system with adequate resources.
2. transparency and visibility by ensuring that clients have full knowledge of the procedures for resolution of their complaints.
3. accessibility of facilities by ensuring the existence of easy access to such procedures at any of the company’s business premises open to clients through electronic means.
4. fairness by ensuring that resolution of a complaint will be effected in a manner which is fair to both clients, the company, and staff; and
5. adequate training of all relevant staff including imparting and ensuring full knowledge of the provisions of the legislation regarding the resolution of complaints.

4. Procedure for Lodging a Complain

- 4.1 Any client who wishes to lodge a complaint against the FSP or any employee must lodge such complaint in writing.
- 4.2 The complaint must provide full details and be accompanied by supporting documentation.
- 4.3 All complaints must be addressed to **complaints@topline.limited**
- 4.4 The company will acknowledge receipt of the complaint in writing.
- 4.5 The company will respond promptly to any complaint.
- 4.6 The company will notify the complainant in writing of the outcome of the resolution of the complaint within 6 weeks of receipt thereof.

- 4.7 Should the complaint not be resolved to the complainant's satisfaction within 6 weeks of lodging such complaint, the complainant may lodge the complaint with the Ombud of Financial Services Providers (contacts below) within 6 months of receiving notification from the FSP regarding the resolution/dismissal of the complaint.
- 4.8 Should the complainant not lodge the complaint with the Ombud, the complainant may pursue any other avenue of law which is available to it.

5. Updates

The Company will perform a periodical review of this Policy, at least once a year. The Policy is in line with the Company's operational model, and therefore in case of any changes in the operations, these will be properly reflected in this policy. The most up-to-date version of the Policy can be found on our website.

Complaints Process Flow:

